

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



Parent application of

: Confirmation No. 7787

Seiji ONISHI et al.

: Docket No. 2001-1823A

Serial No. 10/018,686

Filed December 20, 2001

OPTICAL PICKUP DEVICE

11  
5  
5/29/02  
MB

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents,  
Washington, DC 20231

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of ☒ the references listed on attached form PTO-1449 and/or ☐ the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not provided for each reference previously cited by or submitted to the Patent Office in prior parent application Serial No.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

- (1) ☐ the certification of paragraph 2 below is provided, **or**
- (2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**  
**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

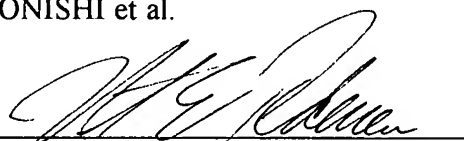
- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
  - b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.
3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,

- b. ☒ a foreign patent office search report (in the English language) submitted previously on December 20, 2001,
  - c. ☒ the concise explanation contained in the specification of the present application at pages 1 and 5,
  - d. ☒ the concise explanation set forth in the attached English language abstract,
  - e. ☒ the concise explanation set forth below or on a separate sheet attached to the reference: JP 9-274730 corresponds to U.S. 5,875,167 and JP 10-106023 corresponds to U.S. 6,041,027
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Seiji ONISHI et al.

By



Nils E. Pedersen

Registration No. 33,145

Attorney for Applicants

NEP/krl  
Washington, D.C. 20006-1021  
Telephone (202) 721-8200  
Facsimile (202) 721-8250  
April 18, 2002

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: April 18, 2002

ATTY DOCKET NO.  
2001-1823ASERIAL NO.  
10/018,686APPLICANT  
Seiji ONISHI et al.FILING DATE  
December 20, 2001

GROUP

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
APR 18 2002	AA	5,875,167	2/1999	Katayama			
	AB	6,041,027	3/2000	Kim et al.			
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AJ	2000-11417	1/2000	JP			abstract
	AK	10-199021	7/1998	JP			abstract
	AL	9-274730	10/1997	JP			
	AM	10-162411	6/1998	JP			abstract
	AN	11-273136	10/1999	JP			abstract
	AO	10-293937	11/1998	JP			abstract
	AP	10-106023	4/1998	JP			

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AQ	
	AR	

EXAMINER

DATE CONSIDERED